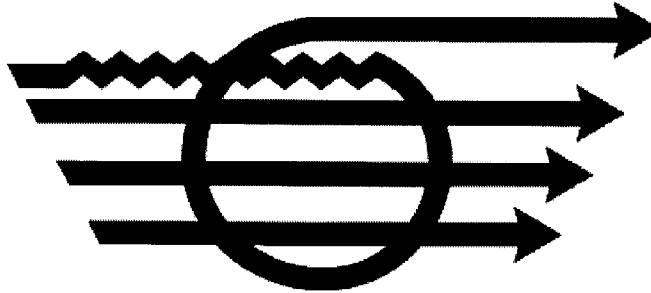


SUPPLIER QUALITY INFORMATION GROUP



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Responsible Organization: **SQIG Steering Committee**

Signature Approval:

Steven Stern

SQIG Chair

6/4/01

Date

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1.0 FORWARD

- 1.1 SQIG shares supplier evaluation data and exchanges information and ideas that promote excellence in all aspects of supplier quality activities.
- 1.2 The SQIG Management Plan describes the Quality System implemented at SQIG.
- 1.3 The objective of the Quality System is to provide internal quality assurance (QA) guidance to SQIG members. This guidance allows SQIG to operate under a standardized quality management system. The SQIG Management Plan outlines purpose, policies, organization, responsibilities, and operations related to ensuring high quality performance in all SQIG activities.
- 1.4 It is SQIG's Policy to provide full compliance with this Quality System.
- 1.5 The System outlined in this Management Plan and support procedures, is designed and developed to provide compliance with applicable portions of ASME NQA-1

2.0 AMENDMENT PROCEDURE

- 2.1 The SQIG Management Plan shall be amended to reflect any changes to SQIG's operations or Quality System.
- 2.2 When a single SQIG Management Plan amendment affects fifty percent, (50%), or more of the Plan content, or when a maximum of ten, (10), amendments are exceeded, the SQIG Management Plan shall be re-issued.
- 2.3 The Chair/Co-Chair is responsible for maintenance of the SQIG Management Plan as described in this section and for reviewing the Plan annually.

3.0 VISION, MISSION, AND GOALS

3.1 Vision:

To provide a means for sharing experience, lowering stakeholder cost and promoting excellence in supplier assessment and quality activities.

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3.2 Mission:

To be the preferred source of information on supplier quality used by the Department of Energy (DOE) and its contractors.

3.3 Goals:

To reduce costs for DOE and its contractors by sharing information on supplier quality.

To minimize the burden to suppliers by sharing supplier quality information

To continuously improve quality information between DOE and its contractors (e.g. Quality Assurance Working Group, Contractors Purchasing Council, Technical Standards Program Office).

To attain the active participation of contractors throughout the DOE complex.

4.0 ORGANIZATION

4.1 Participation in SQIG is voluntary and open to DOE and its contractors. The SQIG information is used solely by the SQIG membership to support DOE-funded work, and contractors to support non-government funded activities may not use it whole, or in part. Membership is established by commitment to the policies and requirements defined in this plan and by signing a Memorandum of Understanding (MOU), attachment No. 1. Participating Contractors include both members and participants (non-members who have not signed the MOU).

4.2 Each member organization shall have one vote on all issues brought before the membership. All issues brought to a vote, except for revisions to the Management Plan, shall be decided by a majority of the membership in attendance.

4.3 The SQIG organization shall be governed by a Steering Committee that consists of a Chair, Co-Chair, Secretary, six Directors, and a Database Administrator. These positions shall be elected every two years by a majority vote of the membership in attendance. Should any member of the Steering committee resign, the position can be filled by an ad hoc election by the membership, or an election at the next meeting.

4.4 The SQIG functions as a subgroup of the DOE Quality Assurance Working Group

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5.0 RESPONSIBILITIES

- 5.1 A SQIG general meeting shall be held annually, as a minimum; the location, host, and agenda will be determined by the SQIG Steering Committee and details distributed to the membership. The frequency of meeting of the Steering Committee and designated working groups shall be determined by the individual groups, based on their task assignment(s) and the significance of the working group's agenda.
- 5.2 Each contractor participating in SQIG is responsible for developing, implementing, and maintaining a supplier evaluation program. The program shall meet the requirements of DOE Order 414.1A Quality Assurance, 10 CFR 830.120 Quality Assurance. The program shall be implemented through and accepted industry standard such as NQA-1, ISO 9000, QC-1 or other accepted national quality standards.
- 5.3 The Steering Committee and working groups are responsible for formulating new concepts, plans, common procedures, or changes to the existing programs. It is the responsibility of each member to support and participate in these activities. If appointed to a committee or working group, the contractor representatives shall be responsible for supporting their work.

6.0 ROLES AND RESPONSIBILITIES OF THE STEERING COMMITTEE

6.1 Chairman/Co-Chair:

Presides over SQIG meetings
Approves SQIG management plan and procedures

6.2 Directors:

Direct Committees
Organize and direct working groups
Maintain Management plan and SQIG procedures
Perform Management reviews and assessments
Train members
Participate on Steering Committee

6.3 Secretary:

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Records minutes of the meetings
Distributes and reads the minutes of the meeting
Maintains SQIG records

6.4 Database Administrator

Maintains the SQIG Database
Maintains utilization data
Administers list server

7.0 DOCUMENT CONTROL

- 7.1 Procedures are established to control and maintain the issue, distribution and changes of all documentation classified as being essential to the accomplishment of SQIG objectives.

8.0 TRAINING

- 8.1 Training of new and existing members on SQIG operations is performed during SQIG meetings. This is defined in the SQIG training procedure and is documented in training files.
- 8.2 Personnel performing supplier evaluations that are intended for inclusion into the SQIG database, shall meet the training, qualification and certification requirement(s) for assessor/lead assessor defined in SQIG procedure for Qualification and Certification of Assessment Personnel.

9.0 PROCUREMENT

- 9.1 At this time SQIG does not procure items and services.

10.0 CONTROL OF PROCESSES

- 10.1 Documented procedures that define the operational processes of SQIG are used to ensure the consistency of the SQIG's product. Where instructions are not applicable or practical, quality and consistency are ensured through documented training. Strategic planning for SQIG is discussed at the SQIG meetings. This SQIG Steering Committee organizes and directs working groups to develop and formulate new ideas, plans, projects and procedures. SQIG members are encouraged to participate in various SQIG working groups.

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10.2 The following approved operational procedures/documents are used to standardize our methods of operation:

- Supplier Evaluation Package/Request for Supplier Evaluation
- Database Entry
- Supplier Evaluation Schedule
- SQIG Utilization Data
- DOE Technical Standards Topical Committee
- Code of Ethics
- Strategic Planning
- Conducting Meetings
- Developing Working Groups
- Conference Calls
- Quality Improvement

11.0 ASSESSMENTS

11.1 SQIG maintains documented procedures for planning and implementing internal quality audits to verify whether the quality activities and related results comply with planned arrangements and to determine the effectiveness of the quality program.

12.0 CORRECTIVE ACTION

12.1 SQIG maintains documented procedures or implementing corrective and preventive action. Processes are also established and implemented to detect and prevent quality problems and to ensure quality improvement.

13.0 RECORDS

13.1 SQIG maintains documented procedures for identification, collection, indexing, access, filing, storage, maintenance and disposition of quality records. Quality records are maintained to demonstrate conformance and effectiveness of the Management System. All quality records shall be legible and shall be stored in such a way that they are readily retrievable in facilities that provide a suitable environment to prevent damage or deterioration to prevent loss. Retention times of quality records shall be established and recorded.

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14.0 DEFINITIONS

- 14.1 **Assessment/Audit/Evaluation.** A documented activity performed in accordance with the written procedures or checklists to verify by investigation, examination, and evaluation of objective evidence, the adequacy of and compliance with established procedures, instructions, drawings, and other applicable documents; also, verify the effectiveness of implementation. This should not be confused with surveillance of inspection activities performed for the sole purpose of process control or product acceptance.
- 14.2 **Assessor.** Any individual in the organization who performs any portion of an assessment includes Lead Auditors, technical specialists, and others, such as management representatives and auditors in training.
- 14.3 **Certifying Official.** The individual in the SQIG organization responsible for certifying the LAs.
- 14.4 **Change Notice.** A form that expedites a significant change, corrects a procedural error or inadequacy, or cancels a document. A document shall be revised immediately upon the fifth Change Notice. Change Notice forms is issued for all levels of publications and is controlled documents. Change Notices herein apply only to changes to the documents within the scope of this procedure since other unique change vehicles exist for changing other types of documents, such as drawings. The person who has signature authority for the document being changed approves the change notice.
- 14.5 **Checklist.** A listing of documents or questions that identify each element or area the evaluation is intended to address.
- 14.6 **Controlled Document.** Any document for which distribution and status are to be kept by the issuer in order to assure that authorized holders or users of the document have available the most up-to-date version for accomplishment of work action.
- 14.7 **Corrective Action.** Measures taken to resolve conditions adverse to quality and, where necessary to preclude recurrence.
- 14.8 **Data Base Administrator.** The data base administrator is the functional, program, or project manager who is ultimately responsible for the data created and maintained to support the business processes for which the data owner has oversight.
- 14.9 **Data User.** The data user is anyone who has access to data that are managed by SQIG.

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- 14.10 **DeskTop Assessment.** A desktop assessment is the evaluation of the QA documentation only, which results in two types of DeskTop assessments.
- First type of desktop assessment is performed when assessing a first time supplier. The assessment is performed by doing an adequacy check between the supplier's QA Program and the selected the QA standard (i.e. ISO 9000, NQA-1) and the current DOE QA Order (DOE 414.1A).
 - Second type of desktop assessment is performed when doing a historical assessment of an existing supplier. The assessor will still perform the adequacy check between the supplier's QA Program and the selected QA standard and the current DOE QA Order, but will also include a review of the supplier's performance. Objective evidence that other DOE subcontractor agencies have performed audits to the subject requirements.
- 14.11 **Document.** Recorded information that describes, specifies, reports, certifies, requires, or provides data or results. It includes both current or working documents and historical records. This consists of written or printed information (procedures, manuals records, etc.); electronic media (such as word processor files and computer databases).
- 14.12 **Electronic Form.** An image that has been electronically generated and/or stored and which is accessed for electronic fill-in, transmission, and/or printing.
- 14.13 **Electronic Mail Message (e-mail).** A document created or received on an electronic mail system including brief notes, more formal or substantive narrative documents, and any attachments such as transmitted with the message.
- 14.14 **Finding.** The documented result of an evaluation that identifies a noncompliance in sufficient detail to enable corrective action to be taken by the evaluated organization. Findings must be supported by a specific example or examples and have a direct correlation with a direct requirement.
- 14.15 **Joint Audit.** A supplier audit, which is 1) scheduled in advance as such, 2) conducted by representatives of two or more SQIG members and 3) distributed to the SQIG membership if requested upon acceptance by the SQIG Compliance committee.
- 14.16 **Implementing Documents.** Provides documented work practices as to how work is performed to meet the intent of applicable standards. Implementing documents integrate safety, efficiency, and effectively into the work practices.
- 14.17 **Independent Assessment.** An assessment performed by a qualified individual or team that is not affiliated with the organization directly performing the work.

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- 14.18 **Indoctrination Training.** Conducted to familiarize employees with information, which will assist them in performing their work assignments. May involve reading, briefings, conference classroom instruction, or similar activities.
- 14.19 **Lead Assessor (LA).** A person certified as a LA who is responsible for organizing, directing, and coordinating the conduct of an assessment; reporting findings and observations; issuing the assessment report; and evaluating the adequacy of responses.
- 14.20 **Objective Evidence.** Any documented statement of fact, other information, or record, either quantitative or qualitative, pertaining to the quality of an item or activity, based on interviews, observations, measurements, or tests, which can be verified.
- 14.21 **Observation.** Any condition identified during the evaluation that is not clearly a requirement violation, but does indicate a weakness in the supplier's QA program.
- 14.21 **Personnel Qualifications.** The characteristics or abilities gained through education, training, or experience as measured against established requirements, such as standards or tests that qualify an individual to perform a required function.
- 14.22 **Plan.** A goal or group of goals, which document an intended path of completion. Plans contain objectives, approaches to be taken, requirements or commitments, and may contain a starting date, ending date, and duration. Plans formulate a scheme for attaining a desired end result. Plans may be audited for conformance to company policy.
- 14.23 **Policy.** Communicates the highest level of core management values to provide a course or method of action for guiding present and future decisions by SQIG members.
- 14.24 **Pre-Award Survey.** An assessment/audit performed at the supplier's facility prior to contract award to assess the supplier's quality system capability against specified project quality assurance program requirements.
- 14.25 **Quality Management Program.** The documented description of all those planned and systematic actions necessary to provide adequate confidence that a structure, system, or component will perform satisfactorily in service.
- 14.26 **Quality System.** The organizational structure, responsibilities, procedures, processes, and resources for implementing quality arrangements.
- 14.27 **Records.** Contains information that is retained for its expected future value. Records should be sufficient to support technical and regulatory decisions. Records include all books, papers, maps, photographs, machine-readable materials, or other documentary material, regardless of physical form or characteristics, made or received by the United States Government under federal law or in connection with the

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transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the government or because of the informational value of data in them.

- 14.28 **Relevant Workplace Experience.** Documented workplace experience that gives the practical knowledge of a field that is necessary to effectively assess systems in that field and that have been verified as part of employment screening.
- 14.29 **Scope of Work.** A technical document in subcontract or technical services agreement that describes what is to be provided to and requirements affecting the manner in which it is provided. The description can comprise details such as model or catalog numbers, quantities, tasks to be accomplished, schedule requirements, and special qualifications needed.
- 14.30 **Shared Audit.** An audit which is 1) not designated as a Joint Audit, 2) normally conducted by representative(s) of a single SQIG member, and 3) made available to the SQIG membership by posting on the SQIG database and by distribution to members upon request.
- 14.31 **Specification.** Specifies detailed, precise acceptance criteria for items, material, products, or services. It is a revision-controlled design document that sets forth requirements as needed to procure services, materials, or equipment from suppliers, establish design criteria, or provide instructions to satisfy established requirements.
- 14.32 **SQIG Memorandum of Understanding.** This is a memorandum to set forth a basic agreement between the requesting contractor and DOE Contractors Supplier Quality Information Group (SQIG).
- 14.33 **Supplier.** Any individual or organization that furnishes items or services in accordance with a procurement document. An all-inclusive term used in place of any of the following: vendor, seller, contractor, subcontractor, fabricator, consultant, and their sub-tier levels.
- 14.34 **Supplier Audit.** An audit conducted at the facilities of a supplier or prospective supplier. This term includes ongoing audits of present suppliers as well as pre-award surveys of prospective suppliers.
- 14.35 **SQIG Database.** The database of evaluated suppliers and scheduled evaluations submitted by the participating members.
- 14.36 **Surveillance.** Monitoring or observing an activity in order to determine whether the activity is performed in accordance with applicable procedures and/or other requirements.

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- 14.37 **Technical Specialist.** An individual subject matter expert (SME), and/or technical representative who are assigned to support the assessment team to evaluate the technical accuracy and appropriateness of a particular area or function.